

Patent  
Docket No.: 54839USA3A

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Richard Francis Averill, Jon Eisenhandler, and  
Norbert Israel Goldfield

Serial No.: 09/302,336

Filed: April 29, 1999

For: **METHOD OF GROUPING AND  
ANALYZING CLINICAL RISKS,  
AND SYSTEM THEREFOR**



Group Art Unit: 2761

Examiner: Not Assigned

**Response to "Notice to File Missing Parts of Application"**

Assistant Commissioner for Patents  
Washington, DC 20231

Dear Sir:

In response to the Notice to File Missing Parts mailed May 20, 1999,  
applicant submits herewith:

- (1) executed Declaration; and
- (2) copy of the Notice to File Missing Parts, form PTO-1533.

In addition, Applicant submits herewith:

- (3) executed Assignment for recordation by the Assignment Branch; and
- (4) Assignment Recordation Form Cover Sheet.

Please charge the fee provided in 37 C.F.R. § 1.16(e) to Deposit Account  
No. 13-3723. Please also charge any additional fees or credit any overpayment to  
Deposit Account No. 13-3723. One copy of this sheet marked DUPLICATE is  
also enclosed.

Respectfully submitted,

Registration Number	Telephone Number
30,555	651-736-9722
Date	7-16-99

Signature	
Print Name	Charles L. Dennis II

Office of Intellectual Property Counsel, 3M Innovative Properties Company  
P.O. Box 33427, St. Paul, Minnesota 55133-3427

**Certificate of Mailing**

Pursuant to 37 CFR 1.8 I certify that this correspondence is being deposited on the date indicated below with the United States Postal Service as First Class Mail addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

Date:	7-16-99	Signature	
		Charles L. Dennis II	

07/20/99

CLD

ph


**UNITED STATES DEPARTMENT OF COMMERCE**  
**Patent and Trademark Office**

 Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
 Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/302,336 04/29/99 AVERILL

R 54839USA3A/002

0232/0520

 CHARLES L DENNIS II  
 OFFICE OF INTELLECTUAL PROPERTY COUNSEL  
 3M INNOVATIVE PROPERTIES COMPANY  
 P O BOX BOX 33427  
 ST PAUL MN 55133-3427

NOT ASSIGNED

2761

DATE MAILED:

05/20/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a

☐ small entity (statement filed) ☒ non-small entity is \$ 130.00

☐ 1. The statutory basic filing fee is:

- ☐ missing.  
☐ insufficient.

Applicant must submit \$\_\_\_\_\_ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☐ 2. The following additional claims fees are due:

\$\_\_\_\_\_ for \_\_\_\_\_ total claims over 20.

\$\_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.

\$\_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ The oath or declaration:

☒ is missing or unsigned.

☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

Customer Service Center  
 Initial Patent Examination Division (703) 308-1202